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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/546,005	08/18/2005	Ingemar Starke	23854-0005US1	8620
26181	7590	01/07/2010		
FISH & RICHARDSON P.C. PO BOX 1022 MINNEAPOLIS, MN 55440-1022			EXAMINER O DELL, DAVID K	
			ART UNIT 1625	PAPER NUMBER
			NOTIFICATION DATE 01/07/2010	DELIVERY MODE ELECTRONIC

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

PATDOCTC@fr.com

Office Action Summary

Application No.

10/546,005

Applicant(s)

STARKE ET AL.

Examiner

David K. O'Dell

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 12 November 2009.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1, 6, 12, 13 and 18 is/are pending in the application.
- 4a) Of the above claim(s) 13 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1, 6, 12, 18 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB-08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

1. Claims 1, 6, 12-13, 18 are pending in the current application. Claim 13 is withdrawn from consideration. The applicant claims priority to GB application 0304194.4 filed February 25, 2003.

Request for Continued Examination

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on November 12, 2009 has been entered.

Claim Rejections/Objections Withdrawn

3. The rejections of claims 1, 6, & 18 under 112 2nd under 112 1st paragraph for scope of enablement is withdrawn based on the amendment reducing the scope. The rejection of claims 1, 6, 12 & 18 under 35 U.S.C. 103(a) as being obvious over Starke et. al. WO 2003020710, is withdrawn as the 103(c) exception has been applied.

Claim Rejections/Objections Maintained/ New Grounds of Rejection

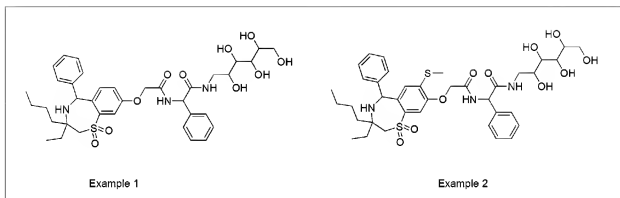
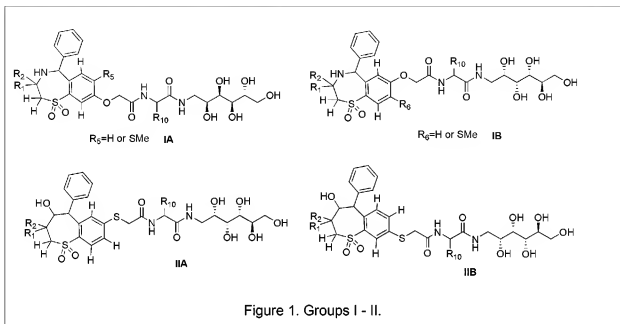
4. The rejections of claims 1, 6, 12 & 18 under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention is maintained. Applicant's representative's arguments do not

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explain the meaning of these terms. While describing a product in terms of its function is not itself improper (see *In re Swinchart*, 439 F.2d 210, 169USPQ 226 (CCPA 1971)), claims directed to a product should be distinguished from the art in terms of structure rather than function. This point was recently revisited, "When a claim limitation is defined in purely functional terms, the task of determining whether that limitation is sufficiently definite is a difficult one that is highly dependent on context (e.g., the disclosure in the specification and the knowledge of a person of ordinary skill in the relevant art area). We note that the patent drafter is in the best position to resolve the ambiguity in the patent claims, and it is highly desirable that patent examiners demand that applicants do so in appropriate circumstances so that the patent can be amended during prosecution rather than attempting to resolve the ambiguity in litigation." *Halliburton Energy Services, Inc. v. M-I LLC*, 85 USPQ2d 1654, 1663 (Fed. Cir. 2008).

The rejections of claims 1, 6, 12 & 18 for obviousness type double patenting over the '946 patent is maintained. It is noted that a terminal disclaimer was filed, however it was not approved. It is suggested that a proper terminal disclaimer be filed. This application contains claims drawn to an invention nonelected with traverse in the reply filed on November 12, 2009. A complete reply to the final rejection must include cancellation of nonelected claims or other appropriate action (37 CFR 1.144) See MPEP § 821.01.

Group I, Claims 1, 3-9, 12 & 18 drawn to compounds and compositions possessing a benzothiazepine core where in applicant's Markush structure of Formula I M^1 is CH_2 , M^2 is NR^{24} , R^1 and R^2 are H or lower alkyl, $R^4=R^7=R^9=R^8=R^{14}=R^{15}=R^{24}=H$, one of R^5 or R^6 is H or SMe and the other is IA, Z is O, R^{10} is cyclohexyl or phenyl, $n=1$, $m=0$, R^{13} is IB $p=1$, $q=0$, R^{16} is OH, $r=3$, R^{17} is C_{1-10} alkyl, said alkyl being ethyl and substituted with two R^{47} 's (one on each carbon), where both R^{47} 's are selected from hydroxy shown as structures IA and IB in Figure 1. If this group is elected, a single disclosed species is also required.



Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

- Claims 1, 6, 12 & 18 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The word “in vivo hydrolysable ester or amide” is indefinite.

The issue on second paragraph is whether the structures of the claimed compounds are clearly defined. Applicants' "in vivo hydrolysable ester or amide" are molecules whose structure lie outside the subject matter of formula 1, but upon metabolism in the body are converted to active compounds falling within the structural scope of formula 1. The claim describes the function intended but provides no specific structural guidance to what constitutes these esters or amides. Esters or amides may come from forming bonds between amino groups and acids. It is unclear which acids, alcohols, or amines are involved. It is unclear if the esters, for example, are formed from alcohol groups on Formula I or where the alcohol groups are attached, and no structure of the required acids is disclosed. It may also be that acid groups are on the Formula I, forming esters with undisclosed alcohols. The ester or amide does not refer to a compound but rather is a name for a functional group. Structural formulas, names, or both can accurately describe organic compounds, which are the subject matter of claims. Attempting to define means by function is not proper when the means can be clearly expressed in terms that are more precise.

Double Patenting

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned

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with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

5. Claims 1, 6, 12 & 18 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-11 of U.S. Patent No. 7,192,946. Although the conflicting claims are not identical, they are not patentably distinct from each other because the compounds of the '946 patent are position isomers of the instant case (The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

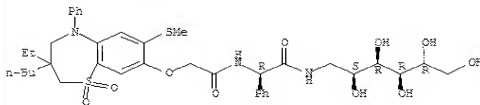
- A) Determining the scope and contents of the prior art.
- B) Ascertaining the differences between the prior art and the claims at issue.
- C) Resolving the level of ordinary skill in the pertinent art.
- D) Considering objective evidence present in the application indicating obviousness or nonobviousness.

A) Determining the scope and contents of the prior art:

The prior art patent teaches the compounds shown below:

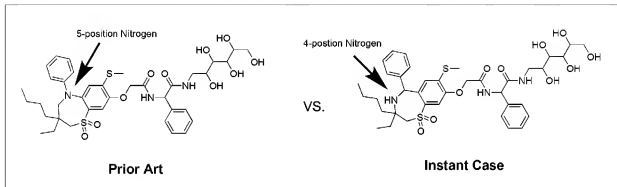
```
RN 561096-57-3  CAFLUS
CN  D-Glucitol, 1-[[[(2R)-[[[[(3-butyl-3-ethyl-2,3,4,5-tetrahydro-7-(methylthio)-
1,1-dioxido-5-phenyl-1,5-benzothiazepin-8-yl]oxy]acetyl]amino]phenylacetyl]
amino]-1-deoxy- (9CI) (CA INDEX NAME)
```

Absolute stereochemistry.



B) Ascertaining the differences between the prior art and the claims at issue.

The difference between the prior art and the claims at hand (the only species of the instant case), is the position of the nitrogen atom in the ring. This can be seen graphically below:



C) Resolving the level of ordinary skill in the pertinent art: The level of ordinary skill is high. Someone preparing these compounds would be trained in organic chemistry and would recognize the very close structural similarity and would expect them to have similar properties.

D) Considering objective evidence present in the application indicating obviousness or nonobviousness:

Positional isomers, having the same radical on different positions of the molecule, are *prima facie* obvious, and require no secondary teaching. The experienced Ph.D. synthetic organic chemist, who would make Applicants' compounds, would be motivated to prepare these position isomers based on the expectation that such close analogues would have similar properties and upon the routine nature of such position isomer experimentation in the art of medicinal chemistry. It would be routine for the chemist to vary the point of attachment in order to increase potency and to establish better patent protection for her compounds. This situation is nearly exactly that found in *Ex parte Ullyot* 103 USPQ 185 (4-hydroxy-1-oxo-1,2,3,4-

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tetrahydroisoquinoline obvious over a reference teaching 4-hydroxy-2-oxo-1,2,3,4-tetrahydroquinoline), "[p]osition isomers are recognized by chemists as similar materials", quoted with approval by *Ex parte MOWRY AND SEYMOUR* 91 USPQ 219, *In re JONES* 74 USPQ 152 (4-methyl naphthyl-1-acetic acid and 2-methyl naphthyl-1-acetic acid obvious over a reference teaching 1-methyl naphthyl-2-acetic acid), *Ex parte BIEL* 124 USPQ 109 (N-ethyl-3-piperidyl diphenylacetate obvious over a reference teaching N-alkyl-4-piperidyl diphenylacetate), "[appellant's arguments] do not, in any way, obviate the plain fact that appellant's DACTIL is an isomer of McElvain et al.'s compound. This close relationship places a burden on appellant to show some unobvious or unexpected beneficial properties in his compound in order to establish patentability", *Ex parte Henkel* 130 USPQ 474, (1-phenyl-3-methyl-4-hydroxypyrazole obvious over reference teaching 3-phenyl-5-methyl-4-hydroxypyrazole), "appellants have made no comparative showing here establishing the distinguishing characteristics they allege which we might consider as evidence that the claimed compounds are unobvious. It is clear from *In re Henze*, supra, and the authorities it cites, that at least this much is necessary to establish patentability in adjacent homologs and **position isomers** (emphasis added)".

In re Surrey 138 USPQ 67, (2,6-dimethylphenyl-N-(3-dimethylaminopropyl) carbamate obvious over a reference teaching 2,4-dimethylphenyl N-(3-dimethylaminopropyl) carbamate), *In re MEHTA* 146 USPQ 284, (2-(1-methyl)-pyrrolidylmethyl benzilate obvious over a reference teaching 3-(1-methyl)-pyrrolidylmethyl benzilate), "[t]he fact that a **position isomer** (emphasis added) of a compound is known is some evidence of the obviousness of that compound. **Position isomerism** (emphasis added) is a fact of close *structural* (emphasis in original)

similarity ...".*Deutsche Gold-Und Silber-Scheideanstalt Vormals Roessler v. Commissioner of Patents*, 148 USPQ 412, (1-azaphenothiazines obvious over references teaching 2-azaphenothiazines, 3-azaphenothiazines, and 4-azaphenothiazines), *In re Crounse*, 150 USPQ 554 (dye with *para* (CONH₂) and *ortho* (OCH₃) obvious over a dye with the same nucleus and *meta* (CONH₂) and *para* (OCH₃) group), *Ex parte Allais*, 152 USPQ 66, (3- β -aminopropyl-6-methoxyindole obvious over a reference teaching 3- β -aminopropyl-5-methoxyindole), *In re Wiechert* 152 USPQ 247, (1-methyl dihydrotestosterones obvious over a reference teaching 2-methyl dihydrotestosterones), *Monsanto Company v. Rohm and Haas Company*, 164 USPQ 556, at 559, (3',4'-dichloropropionanilide obvious over references teaching 2',4'-dichloropropionanilide and 2',5'-dichloropropionanilide), *Ex parte Naito and Nakagawa*, 168 USPQ 437, (3-phenyl-5-alkyl-isothiazole-4-carboxylic acid obvious over a reference teaching 5-phenyl-3-alkyl-isothiazole-4-carboxylic acid), "[t]his merely involves **position isomers** (emphasis added) and under the decisions cited, the examiner's holding of *prima facie* obviousness is warranted." *In re Fouche*, 169 USPQ 429, (10-aliphatic substituted derivatives of dibenzo[a,d]cycloheptadiene obvious over reference teaching 5-aliphatic substituted derivatives of dibenzo[a,d]cycloheptadiene). *In re Hass* 60 USPQ 552, which found a *prima facie* case of obviousness of 1-chloro-1-nitrobutane over 1-chloro-1-nitroisobutane taught in the prior art, *In re FINLEY*, 81 USPQ 383, 2-ethyl hexyl salicylate over octyl salicylate.

Ex parte Engelhardt, 208 USPQ 343 at 349, "[i]f functional groups capable of withdrawing or repelling electrons are located in the chain or **ring** (emphasis added) of a biologically active compound, transfer of such groups to other positions in which their electronic effects are lessened or enhanced may alter the biological activity of the modified compound. Hence,

position isomerism (emphasis added) has been used as a tool to obtain new and useful drugs", *In re Grabiak* 226 USPQ 870, "[w]hen chemical compounds have "very close" structural similarities and similar utilities, without more a *prima facie* case may be made", *In re Deuel* 34 USPQ2d 1210, "a known compound may suggest its analogs or isomers, either geometric isomers (*cis v. trans*) or **position isomers** (emphasis added) (e.g. *ortho v. para*)".

Conclusion

10. All claims are drawn to the same invention claimed in the application prior to the entry of the submission under 37 CFR 1.114 and could have been finally rejected on the grounds and art of record in the next Office action if they had been entered in the application prior to entry under 37 CFR 1.114. Accordingly, **THIS ACTION IS MADE FINAL** even though it is a first action after the filing of a request for continued examination and the submission under 37 CFR 1.114. See MPEP § 706.07(b). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to David K. O'Dell whose telephone number is (571)272-9071. The examiner can normally be reached on Monday-Friday 9:00 A.M. to 6:00 P.M..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Janet Andres can be reached on (571)272-0867. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/David K. O'Dell/
Examiner, Art Unit 1625

/Rita J. Desai/
Primary Examiner, Art Unit 1625